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FEE TRANSMITTAL for FY 2004

Effective 10/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) 180.00

Complete if Known

Application Number	10/014,310
Filing Date	December 11, 2001
First Named Inventor	Ritesh P. Shah
Examiner Name	A. Oltmans
Art Unit	1742
Attorney Docket No.	32120-CON1

METHOD OF PAYMENT (check all that apply)

☒ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

☐ Deposit Account:

Deposit
Account
Number
Deposit
Account
Name

23-0925

Wells St. John P.S.

The Director is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments

☒ Charge any additional fee(s) or any underpayment of fee(s)

☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Fee Code	Small Entity Fee Code	Fee Description	Fee Paid
1001 770	2001 385	Utility filing fee	
1002 340	2002 170	Design filing fee	
1003 530	2003 265	Plant filing fee	
1004 770	2004 385	Reissue filing fee	
1005 160	2005 80	Provisional filing fee	
SUBTOTAL (1)			(\$) 0.00

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims	Extra Claims	Fee from below	Fee Paid
Independent Claims	-20** =	X	
Multiple Dependent	-3** =	X	

Large Entity Fee Code	Small Entity Fee Code	Fee Description
1202 18	2202 9	Claims in excess of 20
1201 86	2201 43	Independent claims in excess of 3
1203 290	2203 145	Multiple dependent claim, if not paid
1204 86	2204 43	** Reissue independent claims over original patent
1205 18	2205 9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$) 0.00

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Fee Code	Small Entity Fee Code	Fee Description	Fee Paid
1051 130	2051 65	Surcharge - late filing fee or oath	
1052 50	2052 25	Surcharge - late provisional filing fee or cover sheet	
1053 130	1053 130	Non-English specification	
1812 2,520	1812 2,520	For filing a request for ex parte reexamination	
1804 920*	1804 920*	Requesting publication of SIR prior to Examiner action	
1805 1,840*	1805 1,840*	Requesting publication of SIR after Examiner action	
1251 110	2251 55	Extension for reply within first month	
1252 420	2252 210	Extension for reply within second month	
1253 950	2253 475	Extension for reply within third month	
1254 1,480	2254 740	Extension for reply within fourth month	
1255 2,010	2255 1,005	Extension for reply within fifth month	
1401 330	2401 165	Notice of Appeal	
1402 330	2402 165	Filing a brief in support of an appeal	
1403 290	2403 145	Request for oral hearing	
1451 1,510	1451 1,510	Petition to institute a public use proceeding	
1452 110	2452 55	Petition to revive - unavoidable	
1453 1,330	2453 665	Petition to revive - unintentional	
1501 1,330	2501 665	Utility issue fee (or reissue)	
1502 480	2502 240	Design issue fee	
1503 640	2503 320	Plant issue fee	
1460 130	1460 130	Petitions to the Commissioner	
1807 50	1807 50	Processing fee under 37 CFR 1.17(q)	
1806 180	1806 180	Submission of Information Disclosure Stmt	180.00
8021 40	8021 40	Recording each patent assignment per property (times number of properties)	
1809 770	2809 385	Filing a submission after final rejection (37 CFR 1.129(a))	
1810 770	2810 385	For each additional invention to be examined (37 CFR 1.129(b))	
1801 770	2801 385	Request for Continued Examination (RCE)	
1802 900	1802 900	Request for expedited examination of a design application	

Other fee (specify)

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 180.00

SUBMITTED BY

Name (Print/Type)	James E. Lake	Registration No. (Attorney/Agent)	44,854	Telephone	509-624-4276
Signature		Date	8 July 2004		

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

EV372451904



TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

Application Number 10/014,310

Filing Date December 11, 2001

First Named Inventor Shah, et al

Art Unit 1742

Examiner Name A. Oltmans

Attorney Docket Number 32120-CON1

ENCLOSURES (Check all that apply)

- | | | |
|--|---|---|
| <input checked="" type="checkbox"/> Fee Transmittal Form | <input type="checkbox"/> Drawing(s) | <input type="checkbox"/> After Allowance Communication to a Technology Center (TC) |
| <input checked="" type="checkbox"/> Fee Attached | <input type="checkbox"/> Licensing-related Papers | <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences |
| <input type="checkbox"/> Amendment/Reply | <input type="checkbox"/> Petition | <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) |
| <input type="checkbox"/> After Final | <input type="checkbox"/> Petition to Convert to a Provisional Application | <input type="checkbox"/> Proprietary Information |
| <input type="checkbox"/> Affidavits/declaration(s) | <input type="checkbox"/> Power of Attorney, Revocation | <input type="checkbox"/> Status Letter |
| <input type="checkbox"/> Extension of Time Request | <input type="checkbox"/> Change of Correspondence Address | <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): |
| <input type="checkbox"/> Express Abandonment Request | <input type="checkbox"/> Terminal Disclaimer | return postcards (2), PTO-1449, check for \$180.00, cited refs |
| <input checked="" type="checkbox"/> Information Disclosure Statement | <input type="checkbox"/> Request for Refund | |
| <input type="checkbox"/> Certified Copy of Priority Document(s) | <input type="checkbox"/> CD, Number of CD(s) _____ | |
| <input type="checkbox"/> Response to Missing Parts/Incomplete Application | Remarks | |
| <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 | Customer No. 021567
The Commissioner is hereby authorized to charge any additional fees required under 37 C.F.R. Section 1.16 and Section 1.17 and credit any overpayments to account no. 23-0925. | |

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual James E. Lake
Reg. No. 44,854, Wells St. John P.S

Signature

Date

CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: _____

Typed or printed

Signature

Date

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, Washington, DC 20231.**

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

EV372451904



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application Serial No. 10/014,310
Filing Date December 11, 2001
Inventor Ritesh P. Shah, et al.
Assignee Honeywell International Inc.
Group Art Unit 1742
Examiner A. Oltmans
Attorney's Docket No. 32120-CON1
Title: Methods of Forming Metal Articles

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

References –See Attached Form PTO-1449

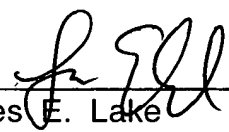
The Examiner's attention is directed to the references which are listed on the attached Form PTO-1449, copies of which are attached. No admission is made regarding whether all the submitted references are prior art.

Citation of the referenced art is respectfully requested.

A check in the amount of \$180.00 is enclosed to cover the fee specified under 37 C.F.R. § 1.17(p).

Respectfully submitted,

Dated: 8 Jul 2004

By: 
James E. Lake
Reg. No. 44,854

Form PTO-1449

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICE

ATTY. DOCKET NO.
32120-CON1

SERIAL NO.
10/014,310

APPLICANT
Ritesh P. Shah, et al.

FILING DATE
December 11, 2001

GROUP
1753

LIST OF ART CITED BY APPLICANT
(Use several sheets if necessary)

U.S. PATENT DOCUMENTS

*Examiner Initial		Document Number	Date	Name	Class	Subclass	Filing Date If Appropriate
	AA	6,113,761	09/00	Kardokus et al.			
	AB	6,139,701	10/00	Pavate et al.			
	AC	3,497,402	2/97	Douglas			
	AD	2001/0023726A	09/01	Koenigsmann et al.			
	AE						
	AF						
	AG						
	AH						
	AI						
	AJ						
	AK						
	AL						

FOREIGN PATENT DOCUMENTS

		Document Number	Date	Country	Class	Subclass	Translation	
							Yes	No
	AM	JP362089543		Japan				
	AN							
	AO							

OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, Etc.)

AR	R.Z. Valiev et al., "Bulk Nanostructured materials from severe plastic deformation", Progress in Materials Science, Vol. 45, 2000, pp. 103-189.
AS	S. Ferrasse et al., "ECAE Targets with Sub-Micron Grain Structures Improve Sputtering Performance and Cost-of-Ownership", Semiconductor Manufacturing, Vol. 4, Issue 10, October 2003, pp. 76-92.
AT	Yoshinori Iwahashi et al., "Microstructural Characteristics of Ultrafine-Grained Aluminum Produced Using Equal-Channel Angular Pressing", Metallurgical and Materials Transactions, Vol. 29A, pp. 2245-2252, September 1998.

EXAMINER

DATE CONSIDERED

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Form PTO-1549

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICE

LIST OF ART CITED BY APPLICANT
(Use several sheets if necessary)

ATTY. DOCKET NO.
32120-CON1

SERIAL NO.
10/014,310

APPLICANT
Ritesh P. Shah, et al.

FILING DATE
December 11, 2001

GROUP
1753

U.S. PATENT DOCUMENTS

*Examiner Initial	Document Number	Date	Name	Class	Subclass	Filing Date If Appropriate
	AA					
	AB					
	AC					
	AD					
	AE					
	AF					
	AG					
	AH					
	AI					
	AJ					
	AK					
	AL					

FOREIGN PATENT DOCUMENTS

	Document Number	Date	Country	Class	Subclass	Translation	
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	AM						
	AN						
	AO						

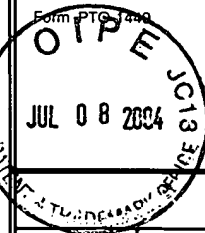
OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, Etc.)

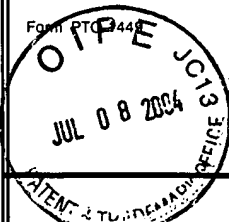
AR	M. Furukawa et al., "Microhardness Measurements and the Hall-Petch Relationship in an Al-Mg Alloy with Submicrometer Grain Size", Acta Mater. Vol. 44, No. 11, pp. 4619-4629, 1996.
AS	Segal et al., "Plastic Working of Metals by Simple Shear", Russian Metall. Vol. 1, pp. 99-105, 1991.
AT	Ruslan Z. Valiev et al., "SPD-Processed Ultra-Fine Grained Ti Materials for Medical Applications", Advanced Materials & Processes, December 2003, pp. 33-34.

EXAMINER

DATE CONSIDERED

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Form PTO 1449 		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTY. DOCKET NO. 32120-CON1		SERIAL NO. 10/014,310	
LIST OF ART CITED BY APPLICANT (Use several sheets if necessary)				APPLICANT Ritesh P. Shah, et al.			
				FILING DATE December 11, 2001		GROUP 1753	
U.S. PATENT DOCUMENTS							
*Examiner Initial		Document Number	Date	Name	Class	Subclass	Filing Date If Appropriate
	AA						
	AB						
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FOREIGN PATENT DOCUMENTS							
		Document Number	Date	Country	Class	Subclass	Translation
							Yes No
	AM	JP362089543		Japan			
	AN						
	AO						
OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, Etc.)							
	AR		F. J. Humphreys et al., "Developing stable fine-grain microstructures by large strain deformation", Phil. Trans. R. Soc. Lond. A, June 15, 1999, Vol. 357 #1756, pp. 1663-1681.				
	AS		S. Ferrasse et al., "Texture evolution during equal channel angular extrusion Part I. Effect of route, number of passes and initial texture", Materials Science and Engineering, Vol. 368, March 15, 2004, pp. 28-40.				
	AT		V.M. Segal, "Equal channel angular extrusion: from macromechanics to structure formation", Materials Science & Engineering A271, November 1, 1999, pp. 322-333.				
EXAMINER				DATE CONSIDERED			
*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.							

Form PTO 344 		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTY. DOCKET NO. 32120-CON1		SERIAL NO. 10/014,310	
LIST OF ART CITED BY APPLICANT (Use several sheets if necessary)				APPLICANT Ritesh P. Shah, et al.			
FILING DATE December 11, 2001				GROUP 1753			
U.S. PATENT DOCUMENTS							
*Examiner Initial	Document Number	Date	Name	Class	Subclass	Filing Date If Appropriate	
AA							
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FOREIGN PATENT DOCUMENTS							
Document Number	Date	Country	Class	Subclass	Translation		
					Yes	No	
AM							
AN							
AO							
OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, Etc.)							
AR		R.Z. Valiev et al., "Plastic deformation of alloys with submicron-grained structure", Materials Science and Engineering, A137 (1991) pp. 35-40.					
AS		AMS Specialty Handbook*, <u>Aluminum and Aluminum Alloys</u> , ASM International*, 1993, pp 290-292.					
AT		Metals Handbook 8 th Edition, Vol. 1, <u>Properties and Selection of Metals</u> , American Society for Metals, 1961, pp. 15 and 18.					
EXAMINER				DATE CONSIDERED			
*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.							